

**IN THE UNITED STATES PATENT AND TRADEMARK OFFICE**

In Re Continuation Patent Application Of:  
Kenneth Kiron and Kevin S. Bander

Mailed: April 24, 2001

For: Open End Mutual Fund Securitization Process)

) Prior Application:  
) Application No. 09/579,801  
) Filed: May 26, 2000  
) Art Unit: 2761  
) Examiner: Not Assigned  
) Present Application:  
) Examiner: Not Assigned  
) Art Unit: Not Assigned

Box Patent Application  
Fee  
Commissioner For Patents  
Washington, D.C. 20231

**PRELIMINARY AMENDMENT**

Dear Sir:

The above-identified Application is a continuation of co-pending prior U.S. Application No. 09/579,801, which is a continuation of U.S. Application No. 09/140,868 filed August 27, 1998, now U.S. Patent No. 6,088,685, which is a continuation of U.S. Application No. 08/542,431 filed October 12, 1995 now U.S. Patent No. 5,806,048. Before examination, please amend the instant Application as follows:

**In the Specification:**

On page 1, line 5 (of the Substitute Specification), please insert

-- This Application is a continuation of co-pending U.S. Application No. 09/579,801 filed May 26, 2000, which is a continuation of U.S. Application No. 09/140,868 filed August 27, 1998, now U.S. Patent No. 6,088,685, which is a continuation of U.S. Application No. 08/542,431 filed October 12, 1995 now U.S. Patent No. 5,806,048.- -

**In the Claims:**

Please cancel Claims 75-89 without prejudice.

Please replace claim 53 with the following corresponding amended claim:

53. (Amended) A method comprising the steps of:

creating a derivative based on a unit investment trust having a number of shares and having a portfolio comprising of securities within a subgroup of a group of securities and satisfying an investment objective;

09/579,801 - 042401